UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/982,072	10/18/2001	Glen H. Mullen	09469.006001; 97.0003	7280

55346 7590 09/21/2006

OSHA . LIANG L.L.P. / SLB
1221 MCKINNEY STREET
SUITE 2800
HOUSTON, TX 77010

EXAMINER	
HOFFMAN, BRANDON S	

ART UNIT	PAPER NUMBER
2136	

DATE MAILED: 09/21/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	09/982,072	MULLEN ET AL.	
	Examiner	Art Unit	
	Brandon S. Hoffman	2136	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *18 August 2006*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-9,13-25 and 28-35* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-9,13-25 and 28-35* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date *6-6-06*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

DETAILED ACTION

1. Claims 1-9, 13-25, and 28-35 are pending in this office action.

Information Disclosure Statement

2. The information disclosure statement (IDS) submitted on June 6, 2006, is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

Continued Examination Under 37 CFR 1.114

3. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on August 18, 2006, has been entered.

Claim Rejections

4. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior office action.

Claim Rejections - 35 USC § 103

5. Claims 1-9, 13-25, and 28-35 are rejected under 35 U.S.C. 103(a) as being unpatentable over Chen et al. (U.S. Patent No. 6,061,796) in view of Shrader et al. (U.S. Patent No. 6,772,341), and further in view of Swift et al. (U.S. Patent No. 6,377,691).

Regarding claims 1, 2, 5, 14-16, and 20-23, Chen et al. teaches a network system providing integration, comprising:

- A client computer (fig. 1A, ref. num 4);
- A server (fig. 1A, ref. num 1);
- A server-side cryptographic function providing cryptographic services located on the server (fig. 6, ref. num 23);
- A remote access switch providing an interface between the client computer and the server (fig. 6, ref. num 8);
- A client-side cryptographic function providing cryptographic services located on the client computer (fig. 6, ref. num 20);
- A dial-up client **for dialing** the remote access switch (fig. 2-5, ref. num 25);
- A custom script dynamically linked library providing an interface between the dial-up client and the client-side cryptographic function (col. 2, lines 45-61, col. 3, lines 38-53, and fig. 2-5, ref. num 22);
- **Wherein the dial-up client is an executable file that loads and executes code in the custom script dynamically linked library** (col. 8, lines 33-42, the

client authentication software is accessed by the client before data is sent out through the TDI layer, the hardware drivers, and eventually the hardware); **and**

- **The server-side cryptographic function sends an instruction based on the result to the server via the PKI-Bridge, wherein the instruction specifies whether the server should send an allow connection message to the remote access switch** (fig. 7, ref. num 108, after proper authentication has taken place, transmission of data is allowed between clients or client and server);
- A security device holding authentication information (col. 9, lines 1-10); and
- A security device reader attached to the client computer for reading the security device (col. 9, lines 1-10).

Chen et al. does not specifically teach a PKI-Bridge, or a directory service accessed by the server-side cryptographic function, or generating a challenge string, generating a signed response string, encoding and dividing the signed response string, combining and decoding the plurality of packets, and verifying the reconstructed signed response string **to generate a result**. However, Chen et al. does teach of the SmartGATE VPN for the server, which is directly attached to the server, and therefore functions as the PKI-Bridge. The SmartGATE VPN is responsible for receiving information to enable secure communications between either a) a client and server, or b) a client and another client.

Shrader et al. teaches a directory service accessed by the server-side cryptographic function (col. 9, lines 39-53).

It would have been obvious to one of ordinary skill in the art, at the time the invention was made, to combine a directory service accessible by the server-side cryptographic function, as taught by Shrader et al., with the network system of Chen et al. It would have been obvious for such modifications because the directory service provides keys to the server-side cryptographic function; this enables the server direct access to the keys.

The combination of Chen et al. as modified by Shrader et al. still does not teach the following limitations.

Swift et al. teaches wherein the server-side cryptographic function generates a challenge string (fig. 5A, ref. num 506), the client-side cryptographic function generates a signed response string in response to the challenge string (fig. 5A, rf. num 508), the custom script dynamically linked library encodes and divides the signed response string to obtain a plurality of packets (col. 1, lines 41-45), the PKI-Bridge combines and decodes the plurality of packets to obtain a reconstructed signed response string (col. 1, lines 34-37), the server-side cryptographic function verifies the reconstructed signed response string **to generate a result** (col. 8, lines 38-52).

It would have been obvious to one of ordinary skill in the art, at the time the invention was made, to combine a challenge-response system and encoding the data, then dividing it in blocks for transmission, as taught by Swift et al., with the network system of Chen et al./Shrader et al. It would have been obvious for such modifications because dividing data into packets takes secured data and allows it to be sent in either a datagram mode or virtual circuit mode, each having their own benefits (see col. 1, lines 53-67 of Swift et al.).

Regarding claim 3, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein a certificate is stored on the security device (see col. 7, lines 13-21 of Shrader et al.).

Regarding claims 4, 17, and 30, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the security device is a smart card (see col. 9, lines 1-10 of Chen et al.).

Regarding claims 6 and 33, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the directory service is lightweight directory access protocol compliant (see col. 9, lines 39-53 of Shrader et al.).

Regarding claim 7, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the client-side cryptographic function and the server-side cryptographic function employ the same cryptographic scheme (see col. 11, lines 16-23 of Chen et al.).

Regarding claim 8, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the server-side cryptographic function uses a random number generator to generate the challenge string (see fig. 6, ref. num 61 of Chen et al.).

Regarding claim 9, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the client-side cryptographic function uses a random number generator to generate the response string (see fig. 6, ref. num 61 of Chen et al.).

Regarding claims 13 and 19, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the dial-up client automates the authentication process using a hidden terminal operating in terminal mode (see fig. 2, ref. num 25 of Chen et al.).

Regarding claim 18, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the custom script dynamically linked library comprises a SDLogin component and a SDSetupDial component (see col. 3, lines 16-28 of Chen et al., dial-up internet access requires a user to login).

Regarding claims 24, 25, 28, 29, 34, and 35, Chen et al. teaches a method/apparatus of integrating via a dial-up interface, comprising:

- Sending session initiation information from a dial-up client to a server **wherein the dial-up client is an executable file that loads and executes code in a custom script dynamically linked library** (col. 9, lines 42-53 and col. 8, lines 33-42, the client authentication software is accessed by the client before data is sent out through the TDI layer, the hardware drivers, and eventually the hardware);
- Checking session initiation information by the server (col. 9, lines 53-59);
- Forwarding the challenge string to a custom script dynamically linked library (fig. 2, ref. num 22, the server [23] sends the challenge to the winsock first);
- Forwarding the challenge string to **the** client-side cryptographic function from the custom script dynamically linked library (fig. 6, ref. num 61, the winsock [22] then forwards the challenge to the SmartGATE VPN);
- Utilizing a private key from a security device (col. 2, lines 21-37, the reference incorporated by reference refers to col. 3, lines 44-59 for using a private key of a smart card);
- Signing the response string with the private key of a dial-in user to obtain a signed response string (col. 2, lines 21-37, the reference incorporated by reference refers to col. 5, lines 45-56 for signing a message);
- Forwarding the signed response string to the custom script dynamically linked library (fig. 2, ref. num 20 going through 22);

- Forwarding the plurality of packets to the server (col. 8, lines 52-56);
- Forwarding the reconstructed signed response string to the server-side cryptographic function (col. 8, lines 52-56);
- Obtaining a public key of the dial-in user (col. 2, lines 21-37, the reference incorporated by reference refers to col. 1, lines 39-49 and col. 5, lines 30-44 for verifying by using a public key);
- Verifying the reconstructed signed response string based on the public key using the server-side cryptographic function **to generate a result** (col. 2, lines 21-37, the reference incorporated by reference refers to col. 5, lines 19-44 for verifying a signed message);
- **Sending an instruction to the server from the server-side cryptographic function via the PKI-Bridge, wherein the instruction specifies whether the server should send an allow connection message to the remote access switch based on the result** (fig. 7, ref. num 108, after proper authentication has taken place, transmission of data is allowed between clients or client and server);
- Reading the security device by a security device reader (col. 9, lines 1-10);
- Forwarding the challenge string to the dial-up client (fig. 6, ref. num 61);
- Forwarding the challenge string to the server (fig. 1, ref. num 61); and
- Forwarding the plurality of packets from the custom script dynamically linked library (fig. 2, ref. num 22, packets are forwarded from the DLL to the SmartGATE VPN on the client).

Chen et al. does not specifically teach a PKI-Bridge, generating a challenge string; generating a response string; dividing the encoded signed response string into a plurality of packets; combining the plurality of packets; encoding the signed response string to obtain an encoded signed response string and decoding the reconstructed encoded signed response string to obtain a reconstructed signed response string. However, Chen et al. does teach of the SmartGATE VPN for the server, which is directly attached to the server, and therefore functions as the PKI-Bridge. The SmartGATE VPN is responsible for receiving information to enable secure communications between either a) a client and server, or b) a client and another client.

Shrader et al. teaches encoding the signed response string to obtain an encoded signed response string and decoding the reconstructed encoded signed response string to obtain a reconstructed signed response string (col. 11, lines 49-67).

It would have been obvious to one of ordinary skill in the art, at the time the invention was made, to combine encoding and decoding the signed response string, as taught by Shrader et al., with the method/apparatus of Chen et al. It would have been obvious for such modifications because encoding the signed response string prevents attackers from "seeing" what the response should look like. This prevents replay-attacks.

The combination of Chen et al. as modified by Shrader et al. still does not teach the following limitations.

Swift et al. teaches generating a challenge string by a server-side cryptographic function (fig. 5A, ref. num 506); generating a response string in response to the challenge string (fig. 5A, ref. num 508); dividing the encoded signed response string into a plurality of packets (col. 1, lines 41-45); and combining the plurality of packets to obtain a reconstructed encoded signed response string (col. 1, lines 34-37).

It would have been obvious to one of ordinary skill in the art, at the time the invention was made, to combine a challenge-response system and encoding the data, then dividing it in blocks for transmission, as taught by Swift et al., with the method/apparatus of Chen et al./Shrader et al. It would have been obvious for such modifications because dividing data into packets takes secured data and allows it to be sent in either a datagram mode or virtual circuit mode, each having their own benefits (see col. 1, lines 53-67 of Swift et al.).

Regarding claim 31, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the session initiation information comprises version information and a distinguished name (see col. 8, lines 9-51 of Shrader et al.).

Regarding claim 32, Chen et al. as modified by Shrader et al./Swift et al. teaches wherein the public key is stored on a directory service (see col. 7, lines 13-21 of Shrader et al.).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Brandon S. Hoffman whose telephone number is 571-272-3863. The examiner can normally be reached on M-F 8:30 - 5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nasser G. Moazzami can be reached on 571-272-4195. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

BH

NASSER MOAZZAMI
PRIMARY EXAMINER

9/18/06